

**U.S. SECURITIES AND EXCHANGE COMMISSION
PUBLIC NOTICE OF VACANCY
NUMBER: ESHA-002**

Opens: June 27, 2003

Closes: September 30, 2003

Securities Compliance Examiner, SK-1831-09/11/12/13

GRADES/SALARIES: (\$49,069 to \$122,965*)

Promotion Potential: SK-13

*Salaries vary by locality/grade, for specific information on salary offerings for each locality/grade level, please see salary offering section for more details

This is a bargaining unit position.

VACANCIES: Multiple- Nationwide
Open-Until Filled

APPOINTMENT/SCHEDULE: Career-Conditional
Full time

(This is a public notice with multiple cut offs. In order to be considered for a specific cut off period, your application must be received by the last day of the cut off period. First cut off: 7/11/03, Second cut off: 7/25/03, Third cut off: 8/8/03, Fourth cut off: 8/22/03, Fifth cut off: 9/5/03, Sixth cut off: 9/19/03, Seventh cut off & Closing Date 9/30/03)

(Branches of IC/IA Examinations or Broker-Dealer for these offices)

LOCATIONS: Office of Compliance Inspections & Examinations, Washington, DC
Atlanta District Office, Atlanta, GA
Boston District Office, Boston, MA
Central Regional Office, Denver, CO
Fort Worth District Office, Ft. Worth, TX
Midwest Regional Office, Chicago, IL
Northeast Regional Office, New York, NY
Pacific Regional Office, Los Angeles, CA
Philadelphia District Office, Philadelphia, PA
Salt-Lake District Office, Salt Lake City, UT
San Francisco, District Office, San Francisco, CA
Southeast Regional Office, Miami, FL

TRAVEL: 6 to 10 nights per month

U.S. Citizenship is Required

Moving Expenses will not be paid

WHAT WORK WILL YOU PERFORM

As a Securities Compliance Examiner, you will:

- Perform compliance examinations and investigations of investment companies and investment advisers, broker-dealers, and/or transfer agents..
- Examine the operations and financial conditions of companies, the adequacy of books and records, procedures for safeguarding funds and securities, and methods of doing business.
- Prepare required schedules, worksheets and narrative materials, evaluate findings and formulate conclusions concerning the degree of compliance with statutory and/or regulatory requirements.
- Conduct conferences and interviews with a variety of company personnel in order to determine possible regulatory violations, and with officers and partners of registrants, private investors, attorneys, CPA's, industry and banking officials, and law enforcement officials etc., on matters relevant to the examination.

More information available on next page

- Prepare report of findings as well as correspondence to entity outlining deficiencies and corrective actions to be taken.

SALARY OFFERINGS SECTION

Candidates MUST indicate specific location and submit a separate application for each location in order to receive consideration.

For specific salaries and grade levels, please see the following table

LOCATION(S):	SK-9	SK-11	SK-12	SK-13
Atlanta, GA	\$49,147-\$58,541	\$59,470-\$76,190	\$71,275-\$91,319	\$84,756-\$108,591
Boston, MA	\$55,653-\$66,291	\$67,342-\$86,276	\$80,710-\$103,407	\$95,975-\$122,965
Chicago, IL	\$54,518-\$64,939	\$65,969-\$84,517	\$79,064-\$101,299	\$94,018-\$120,458
Denver, CO	\$51,941-\$61,869	\$62,850-\$80,521	\$75,326-\$96,510	\$89,573-\$114,763
Ft. Worth, TX	\$49,947-\$59,494	\$60,437-\$77,430	\$72,435-\$92,805	\$86,134-\$110,357
Los Angeles, CA	\$55,653-\$66,291	\$67,342-\$86,276	\$80,710-\$103,407	\$95,975-\$122,965
Miami, FL	\$51,017-\$60,769	\$61,733-\$79,089	\$73,987-\$94,794	\$87,980-\$112,722
New York, NY	\$55,653-\$66,291	\$67,342-\$86,276	\$80,710-\$103,407	\$95,975-\$122,965
Philadelphia, PA	\$52,667-\$62,734	\$63,729-\$81,646	\$76,379-\$97,858	\$90,825-\$116,367
Salt Lake City, UT	\$49,069-\$58,448	\$59,375-\$76,069	\$71,162-\$91,174	\$84,621-\$108,418
San Francisco, CA	\$55,653-\$66,291	\$67,342-\$86,276	\$80,710-\$103,407	\$95,975-\$122,965
Washington, DC	\$51,996-\$61,935	\$62,917-\$80,606	\$75,406-\$96,612	\$89,668-\$114,885

BENEFITS: SEC provides the following benefits - Thrift Savings Program, Federal Employees' Health Benefits Program, Work Life Programs, Federal Employees' Group Life Insurance Program, Annual and Sick Leave, Long Term Disability, and Flexible Spending Account.

WHAT ARE THE QUALIFICATION REQUIREMENTS

Candidates must meet the Specialized Experience or Substitution of Education below.

One full year of specialized experience at a level of difficulty equivalent to the next lower grade (GS/SK-7 for the SK-9 position; GS/SK-9 for the SK-11 position; GS/SK-11 for the SK-12; and GS/SK-12 for the SK-13 position) demonstrating experience that provided a thorough knowledge of accounting, auditing, examining, or investigating principles, techniques, and practices that involved review and evaluation of procedures, practices and records related the issuance, distribution, and trading of securities; the operation of regulatory aspects of securities markets, and the operations of or trading techniques employed in these markets; the financial management structure, operations, and practices of investment advisers and investment companies, or other related organizations.

Substitution of Education:

For the SK-9 position: Two full years of progressively higher-level graduate education or a master's degree in accounting, business administration or finance or higher level graduate education leading to a LL.B or J.D. if directly related to the position being filled.

For the SK-11 position: Three full years of progressively higher-level graduate education or Ph.D. or equivalent doctoral degree, if directly related to the position being filled.

For the SK-12 and above position: None.

Candidates **MUST** submit proof of college/university degree (college transcript) at time of application. Official transcripts must be received by the time of interview. The above specialized experience requires a thorough knowledge of accounting, auditing, examining or investigating principles, techniques and practices involved in the review and evaluation of procedures, practices, and records involved in the securities markets; and writing reports and recommendations

More information available on next page

ICTAP ELIGIBLES

If you are a displaced Federal employee, you must attach to the front of your application proof of eligibility such as an SF-50 and/or RIF letter. If you are a displaced Federal employee separated within the local commuting area of the position, your application will be reviewed to determine whether you meet the minimum qualification requirements and, if you are found minimally qualified, then your application will be rated to determine whether you meet the well-qualified criterion established for the position. A well-qualified displaced employee will be referred before any other qualified candidates. ICTAP eligible candidates will be evaluated against the following factor to determine if they are well qualified:

.For SK-9:

- Experience which demonstrates ability to analyze and interpret federal securities laws, rules and regulations in relation with the principles, techniques and practices of the securities industry and markets.

For SK-11/12/13:

- Experience in examination of the full range of Investment Advisor/Investment Companies, broker dealers and transfer agents.

HOW TO APPLY

Candidates **MUST** submit:

- A résumé; the Optional Application for Federal Employment; or any other written format of your choice which clearly identifies; 1) The announcement number, title, series, and grade of the job you applied for and 2) Information required in the attached SEC Employment Guide. If you are a Federal employee please be sure to provide your current position title, series, grade and step and date of your last within grade increase or promotion.
- Background Survey Questionnaire (optional).
- Veterans should provide a copy of a DD-214 verifying honorable military service.
- Where appropriate, transcript (proof of degree with appropriate courses) must be provided by time interview.

If you do not provide all the information requested, you may lose consideration for this position. None of these forms will be subsequently loaned or returned to applicants.

FILING APPLICATIONS

Applications must be received in the U.S. Securities and Exchange Commission, Office of Administrative and Personnel Management, 6432 General Green Way, Alexandria, VA 22312, no later than the public notice cut off dates specified above. For consideration, applicants must meet qualifications on or before date of cut off specified during time of application.

WHERE TO SEND APPLICATIONS

*U.S. Securities and Exchange Commission
6432 General Green Way, Mail Stop 0-1-A
Alexandria, VA 22312
Attention: Troy Jackson
Email applications to: APPLY@SEC.GOV
FAX: 703-914-4230*

FOR ADDITIONAL VACANCIES THAT MAY BE AVAILABLE VISIT: www.sec.gov/jobs.shtml

More information available on next page

Security Clearance: The individual selected may be subject to a security investigation. Favorable results on a Background Investigation may be a condition of employment or selection to another position.

EQUAL EMPLOYMENT OPPORTUNITY

Candidates will be considered without regard to any non-merit reason such as race, color, religion, age, sex, sexual orientation, national origin, or disability. Disabled veterans, individuals with disabilities and veterans eligible for special OPM appointing authorities are strongly encouraged to apply.

SEC provides reasonable accommodations to applicants with disabilities. If you need a reasonable accommodation for any part of the application and hiring process, please notify the agency's Disabilities Coordinator, OAPM. The decision on granting reasonable accommodations will be on a case-by-case basis.

**ESHA JOB POSTING
EMPLOYMENT GUIDE**

**U.S. Securities and Exchange Commission
Office of Administrative and Personnel Management (Mail Stop 0-1)
6432 General Green Way
Alexandria, VA 22312**

Thoroughly read this guide and provide all information requested.

The information you give is very important because it will help us determine whether you meet the legal requirements for Federal employment and it allows us to evaluate your qualifications for the position.

**JOB
APPLICATION**

- Apply by submitting a résumé or *Optional Application for Federal Employment* (OF-612).
- Place in the top right corner of each page of your application: job title, grade and job announcement number and geographic location of the position for which you are applying.
- If the job is being advertised at more than one geographic location, a separate application is required for each location.

**LEGAL
REQUIREMENTS**

- Provide your social security number, name, address, home and office phone numbers.
- United States citizenship is required. You must state in your application that you are a U.S. citizen.
- Males over age 18 born after December 31, 1959 must be registered with the Selective Service System or have an exemption.

**EDUCATION &
TRAINING**

- List any formal education received in an accredited institution. Give full name and address of high school, college, university, law school; type of certificate, diploma, or degree; grade point average; and month, year degree earned (or when you expect to earn your degree).
- You must submit a copy of or the official college transcript if the job announcement requires it.

EXPERIENCE

- List the job title of your position; name and address of employer; and, supervisor's name and telephone number. You must show beginning and ending employment dates in month and year (i.e., March 2000, 3/00 or 3/2003). You must show average hours worked per week and starting, ending and/or present salary.
- Describe (with examples) any work experience related to the specialized experience required by the vacancy announcement. Be explicit about what work you did and what kinds of skills you used in doing it; evaluators of your qualifications cannot read meaning into what you write. Do not assume that the evaluator will understand what work you have done just based on your title, the kind of business you were involved in, or the name of your organization or company.
- **Indicate whether we may contact your present and previous employers.**
- If you are currently or were formerly employed as a civilian in the Federal Government, indicate the highest grade held.

MANDATORY SELECTIVE FACTOR	<ul style="list-style-type: none"> If a mandatory selective factor is present in the job announcement, candidates <u>must</u> meet it in order to be given consideration for the position.
EVALUATION PROCEDURES	<ul style="list-style-type: none"> A Human Resources Specialist will evaluate your application to determine whether you meet the minimum qualifications (and any mandatory selective factor) specified on the vacancy announcement. All minimally qualified candidates will be referred to the selecting official who will make the final hiring decision.
SPECIAL SELECTION PRIORITY	<ul style="list-style-type: none"> This applies only to current or former career or career conditional Federal employees affected by reduction-in-force (RIF). Review your specific RIF notice about your rights and period of eligibility for special priority selection under the Interagency Career Transition Assistance Plan (ICTAP). To receive special selection priority as a Federal employee, you must: (1) apply timely for a specific job announcement with no greater promotion potential than the position from which you have been or are being separated; (2) occupy or be displaced from a position in the same local commuting area of the vacancy for which you are requesting priority consideration; (3) have a current (or last) performance rating of record of at least fully successful; and (4) determined to be <u>well-qualified</u> as a displaced Federal employee for the SEC position. If you meet the SEC's well-qualified criterion, your application will be referred to the selecting official before any other qualified candidate inside or outside the Federal Government.
FILING A JOB APPLICATION	<p>You may:</p> <ol style="list-style-type: none"> Mail your application (or applications if applying for more than one geographic location) through the U.S. Postal Service. Mailed applications must be received by the closing date stated on the announcement. E-mail or fax your application (or applications if applying for more than one geographic location) to the e-mail address or phone number listed on the announcement. Applications must be received by the closing date specified on the announcement.
WHERE TO SEND YOUR APPLICATION	<p>U.S. Securities and Exchange Commission Office of Administrative and Personnel Management (Mail Stop 0-1) Attention: Troy Jackson 6432 General Green Way Alexandria, VA 22312</p> <p>Fax Number: 703-914-4230 E-mail: APPLY@SEC.GOV</p>

PERSONAL INFORMATION SHEET

Instructions: Providing this information is voluntary. If you decide not to complete and return this form with your application, it will not affect your consideration or selection for Federal employment. The information will be used to assess recruitment activities and will be maintained in a manner so individuals may not be identified by name.

Announcement Number:

Position Title:

Last Name

First Name

MI

Social Security

United States citizen (circle applicable answer):

If not a U.S. citizen, what is your country of citizenship:

Number: _____

Yes or No

Review the categories in A, B, and C and please circle or check the answer that best describes you.

A. Male Female

B. 1. American Indian or Alaskan Native 2. Asian or Pacific Islander 3. Black 4. White 5. Hispanic 6. Other

C. 05 - I do not have a disability.

23 - Blind (one or both eyes)

82 - Convulsive disorder

06 - I have a disability, however it is not listed.

64 - Partial paralysis

90 - Mental retardation

16 - Deaf

71 - Complete paralysis

91 - Mental or emotional illness

92 - Distortion of limbs and/or spine

How did you learn about the position (i.e., Washington Post newspaper, radio, OPM website-USAJOBS, Internet,

SEC hotline, etc.? _____

